



IAPD Report

THEODORE GELLER

CRD# 219555

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

THEODORE GELLER (CRD# 219555)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **04/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	09/04/1990
IA	WELLS FARGO ADVISORS	CRD# 19616	09/02/2015

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **31** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	WELLS FARGO ADVISORS, LLC	19616	ST. LOUIS, MO	09/05/2012 - 12/31/2012
B	PRESCOTT, BALL & TURBEN, INC.	7656	ST. LOUIS, MO	08/14/1978 - 09/04/1990
B	PRESCOTT, BALL & TURBEN	7342	ST. LOUIS, MO	02/04/1977 - 08/14/1978

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **31** jurisdiction(s) and 6 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS**
Main Address: ONE NORTH JEFFERSON AVENUE
MAIL CODE: H0004-05E
ST. LOUIS, MO 63103-2205
Firm ID#: 19616

	Regulator	Registration	Status	Date
B	Cboe Exchange, Inc.	General Securities Representative	Approved	10/18/2021
B	FINRA	General Securities Representative	Approved	09/04/1990
B	FINRA	General Securities Sales Supervisor	Approved	07/10/1992
B	NYSE American LLC	General Securities Representative	Approved	07/29/2011
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq PHLX LLC	General Securities Representative	Approved	09/30/2011
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	09/30/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	09/04/1990
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B	Arizona	Agent	Approved	07/09/2024
B	California	Agent	Approved	09/04/1990



Qualifications

	Regulator	Registration	Status	Date
B	Colorado	Agent	Approved	01/26/1995
B	Connecticut	Agent	Approved	09/04/1990
B	Delaware	Agent	Approved	11/12/2009
B	District of Columbia	Agent	Approved	01/21/2021
B	Florida	Agent	Approved	09/04/1990
B	Georgia	Agent	Approved	08/27/1993
B	Illinois	Agent	Approved	09/04/1990
B	Maine	Agent	Approved	08/05/2015
B	Maryland	Agent	Approved	01/20/2017
B	Massachusetts	Agent	Approved	01/24/1992
B	Michigan	Agent	Approved	09/04/1990
B	Minnesota	Agent	Approved	04/18/2005
B	Nevada	Agent	Approved	11/18/2022
B	New Hampshire	Agent	Approved	07/01/2024
B	New Jersey	Agent	Approved	12/06/1990
B	New York	Agent	Approved	09/04/1990
IA	New York	Investment Adviser Representative	Approved	07/27/2021
B	North Carolina	Agent	Approved	09/17/1993
B	Ohio	Agent	Approved	09/04/1990



Qualifications

	Regulator	Registration	Status	Date
B	Oregon	Agent	Approved	09/10/2020
B	Pennsylvania	Agent	Approved	09/04/1990
B	Rhode Island	Agent	Approved	01/05/2015
B	South Carolina	Agent	Approved	06/22/2012
B	Tennessee	Agent	Approved	08/22/2024
B	Texas	Agent	Approved	06/28/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	06/27/2024
B	Utah	Agent	Approved	09/01/2016
B	Virginia	Agent	Approved	08/07/2019
B	Washington	Agent	Approved	04/27/2026
B	Wisconsin	Agent	Approved	07/23/2020
B	Wyoming	Agent	Approved	01/10/2019

Branch Office Locations

WELLS FARGO ADVISORS
1 PENN PLZ FL 27
NEW YORK, NY 10119



Qualifications



PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 3 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	05/13/1992

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	09/07/2011
B	AMEX Put and Call Exam (PC)	PC	09/02/1977
B	Registered Representative Examination (S1)	Series 1	09/09/1968

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/30/1997
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/12/1980



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	09/05/2012 - 12/31/2012	WELLS FARGO ADVISORS, LLC	CRD# 19616	ST. LOUIS, MO
B	08/14/1978 - 09/04/1990	PRESCOTT, BALL & TURBEN, INC.	CRD# 7656	
B	02/04/1977 - 08/14/1978	PRESCOTT, BALL & TURBEN	CRD# 7342	
B	06/28/1976 - 02/04/1977	PRESCOTT, BALL & TURBEN	CRD# 7101	
B	02/24/1970 - 07/09/1976	BRUNS, NORDEMAN, REA & CO.	CRD# 6589	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	NEW YORK, NY, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	NEW YORK, NY, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

No information reported.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/22/1989
Docket/Case Number:	MS-828
Employing firm when activity occurred which led to the regulatory action:	PRESCOTT BALL & TURBEN
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	04/05/1990
Sanctions Ordered:	Censure Monetary/Fine \$15,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	

**Regulator Statement**

[TOP] MARKET SURVEILLANCE COMMITTEE COMPLAINT #MS-828 FILED 8/22/89, AGAINST RESPONDENTS PRESCOTT BALL & TURBEN-MEMBER, THEODORE GELLER-REGISTERED REPRESENTATIVE, ET AL. THERE ARE 2 CAUSES OF COMPLAINT INCLUDING AN ALLEGATION THAT FROM 8/1/88 THROUGH 12/23/89, T. GELLER, ET AL. ASSISTED BY GALDUN, ENGAGED IN MANIPULATIVE AND DECEPTIVE PRACTICES INVOLVING THE SECURITIES OF STATUS GAME CORP., WHOSE OUTSTANDING SHARES WERE 20% OWNED BY CUSTOMERS AND REGISTERED REPRESENTATIVES INCLUDING T. GELLER AND GREENBERG. SPECIFICALLY, T. GELLER, ET AL. ON 60 OCCASIONS RECEIVED ORDERS AND/OR SOLICITED ORDERS FOR PURCHASES OF STATUS GAME CORP. OR PURCHASED STATUS GAME CORP. FOR THEIR PERSONAL ACCOUNTS AND, ASSISTED BY GALDUN ARRANGED FOR SUCH ORDERS TO BE EXECUTED AT OR NEAR CLOSE CAUSING STATUS GAME CORP. STOCK TO CLOSE AT PRICES HIGHER THAN PREVIOUS TRADES. EACH TRANSACTION IS ALLEGED TO CONSTITUTE A VIOLATION OF ARTICLE III, SECT. 18 OF THE RULES OF FAIR PRACTICE AND ARTICLE III, SECT. 1 FOR FAILURE TO OBSERVE HIGH STANDARDS OF COMMERCIAL HONOR AND EQUITABLE PRINCIPLES OF TRADE. RESPONDENTS SUBMITTED OFFERS OF SETTLEMENT WHICH WERE ACCEPTED BY THE MARKET SURVEILLANCE COMMITTEE ON 11/1/89 AND BY THE NATIONAL BUSINESS CONDUCT COMMITTEE 4/5/90. UNDER THE TERMS, THE COMMITTEE FOUND VIOLATIONS OF ARTICLE III, SECT. 1 OF THE RULES OF FAIR PRACTICE AND SCHEDULE D OF THE BY-LAWS AS ALLEGED, BUT DISMISSED THE ARTICLE III SECT. 18 OF THE RULES OF FAIR PRACTICE ALLEGATION. ON ITS FINDINGS, THE COMMITTEE IMPOSED SANCTIONS INCLUDING THAT RESPONDENTS T. GELLER, ET AL. ARE EACH CENSURED, FINED \$15,000 AND SUSPENDED FROM ASSOCIATION WITH ANY MEMBER IN ANY CAPACITY FOR TEN BUSINESS DAYS, TO RUN CONSECUTIVELY; 7/2/90 PRESS RELEASE: THE SUSPENSION WILL COMMENCE 7/2/90 AND WILL CONCLUDE 7/16/90. ***\$15,000.00 PAID ON 5/21/90 INVOICE #90-MS-497***

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Reporting Source: Individual

Regulatory Action Initiated By: NASD MARKET SURVEILLANCE COMMITTEE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 08/22/1989

Docket/Case Number: MS-828

Employing firm when activity occurred which led to the regulatory action: PRESCOTT BALL & TURBEN

Product Type:

Other Product Type(s):

Allegations: MARKET SURVEILLANCE COMMITTEE VS. PRESCOTT, A. GELLER, T. GELLER, L. GREENBERG AND G. GALDUN ALLEGING



GELLER, GELLER AND GREENBERG CAUSED PRESCOTT TO EXECUTE TRANSACTIONS IN A SECURITY AT OR NEAR THE CLOSE OF THE MARKET FOR THE PURPOSE OF AFFECTING THE LAST-SALE PRICE AT THE CLOSE.

Current Status:

Final

Resolution:

Decision & Order of Offer of Settlement

Resolution Date:

04/05/1990

Sanctions Ordered:

Censure
Monetary/Fine \$15,000.00
Suspension

Other Sanctions Ordered:**Sanction Details:**

OFFER OF SETTLEMENT ACCEPTED BY MARKET SURVEILLANCE COMMITTEE ON 11/1/89 AND BY NATIONAL BUSINESS CONDUCT COMMITTEE 04/05/90. CENSURE, FINE OF \$15,000 AND SUSPENSION FROM ASSOCIATION WITH ANY MEMBER IN ANY CAPACITY FOR TEN CONSECUTIVE BUSINESS DAYS, COMMENCING JULY 2, 1990.

Broker Statement

THE CHARGES INVOLVED TECHNICAL AND INTERPRETIVE VIOLATIONS AND WERE SETTLED BY THE FIRM TO PUT THE MATTER BEHIND AND TO AVOID THE TIME AND COSTS ASSOCIATED WITH DEFENDING THEM. THE TRANSACTIONS WERE LEGITIMATE TRADES AND FULLY PAID FOR. THERE WERE NO LOSSES TO CUSTOMERS AS A RESULT OF THE TRADES.



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC
Allegations:	UNAUTHORIZED TRADING; UNFAIR DEALING; BREACH OF FIDUCIARY DUTY; NEGLIGENCE; BREACH OF CONTRACT; COMMON LAW FRAUD; FAILURE TO SUPERVISE
Product Type:	Other
Other Product Type(s):	STOCKS
Alleged Damages:	\$48,107.97
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #03-02062
Date Notice/Process Served:	03/21/2003
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	02/04/2004
Disposition Detail:	STIPULATED AWARD - CLAIMANT'S CLAIMS AGAINST RESPONDENT ARE DISMISSED WITH PREJUDICE.

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Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, INC.
Allegations:	CLIENT ALLEGES THAT MR. GELLER FAILED TO SUPERVISE THE ACTIVITIES OF A REGISTERED REPRESENTATIVE. MR. GELLER HAS BEEN NAMED AS A RESPONDENT SOLELY DUE TO HIS CAPACITY AS BRANCH MANAGER.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$48,107.97

Customer Complaint Information

Date Complaint Received:	04/04/2003
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	04/04/2003

**Settlement Amount:****Individual Contribution
Amount:****Arbitration Information****Arbitration/Reparation Claim
filed with and Docket/Case
No.:** NASDR CASE # 03-02062**Date Notice/Process Served:** 04/04/2003**Arbitration Pending?** No**Disposition:** Settled**Disposition Date:** 12/31/2003**Monetary Compensation
Amount:** \$32,000.00**Individual Contribution
Amount:** \$0.00**Broker Statement** UPON SETTLEMENT OF THE MATTER WITH THE FIRM, CLAIMANT
VOLUNTARILY WITHDREW HIS CLAIMS AGAINST MR. GELLER.



End of Report

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